


# PATENT COOPERATION TREATY

# PCT

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)

1 APR 2005

Applicant's or agent's file reference <b>X-16038</b>	<b>FOR FURTHER ACTION</b> See Notification of Transmittal of International Preliminary Examination Report (Form PCT/PEA/416)	
International application No. <b>PCT/US 03/32747</b>	International filing date ( <i>day/month/year</i> ) <b>10.11.2003</b>	Priority date ( <i>day/month/year</i> ) <b>22.11.2002</b>
International Patent Classification (IPC) or both national classification and IPC <b>C07D487/04</b>		
Applicant <b>ELI LILLY AND COMPANY et al.</b>		
<p>1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.</p> <p>2. This REPORT consists of a total of 5 sheets, including this cover sheet.</p> <p><input type="checkbox"/> This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).</p> <p>These annexes consist of a total of    sheets.</p>		
<p>3. This report contains indications relating to the following items:</p> <ul style="list-style-type: none"> <li>I    <input checked="" type="checkbox"/> Basis of the opinion</li> <li>II   <input type="checkbox"/> Priority</li> <li>III <input checked="" type="checkbox"/> Non-establishment of opinion with regard to novelty, inventive step and industrial applicability</li> <li>IV   <input type="checkbox"/> Lack of unity of invention</li> <li>V    <input checked="" type="checkbox"/> Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement</li> <li>VI   <input type="checkbox"/> Certain documents cited</li> <li>VII <input type="checkbox"/> Certain defects in the international application</li> <li>VIII <input type="checkbox"/> Certain observations on the international application</li> </ul>		
Date of submission of the demand  <b>28.04.2004</b>	Date of completion of this report  <b>27.09.2004</b>	
Name and mailing address of the international preliminary examining authority:   European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized Officer  <b>Fazzi, R</b>  Telephone No. +49 89 2399-8510	



**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. **PCT/US 03/2747**

**I. Basis of the report**

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

**Description, Pages**

1-18 as originally filed

**Claims, Numbers**

1-4 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).  
☐ the language of publication of the international application (under Rule 48.3(b)).  
☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.  
☐ filed together with the international application in computer readable form.  
☐ furnished subsequently to this Authority in written form.  
☐ furnished subsequently to this Authority in computer readable form.  
☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.  
☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:  
☐ the claims, Nos.:  
☐ the drawings, sheets:

5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)).

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. **PCT/US 03/32747**

**III. Non-establishment of opinion with regard to novelty, inventive step and industrial applicability**

1. The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non-obvious), or to be industrially applicable have not been examined in respect of:

☐ the entire international application,

☒ claims Nos. 4

because:

☒ the said international application, or the said claims Nos. 4 with respect to industrial applicability relate to the following subject matter which does not require an international preliminary examination (specify):

**see separate sheet**

☐ the description, claims or drawings (*indicate particular elements below*) or said claims Nos. are so unclear that no meaningful opinion could be formed (*specify*):

☐ the claims, or said claims Nos. are so inadequately supported by the description that no meaningful opinion could be formed.

☐ no international search report has been established for the said claims Nos.

2. A meaningful international preliminary examination cannot be carried out due to the failure of the nucleotide and/or amino acid sequence listing to comply with the standard provided for in Annex C of the Administrative Instructions:

☐ the written form has not been furnished or does not comply with the Standard.

☐ the computer readable form has not been furnished or does not comply with the Standard.

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1. Statement

Novelty (N)	Yes: Claims	1-4
	No: Claims	
Inventive step (IS)	Yes: Claims	1-4
	No: Claims	
Industrial applicability (IA)	Yes: Claims	1-3
	No: Claims	

2. Citations and explanations

**see separate sheet**

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT - SEPARATE SHEET**

International application No. PCT/US 03/32747

**1) Reference is made to the following documents:**

D1: WO-A-02094833

D2: EP-A-0531901

**1.1)** In view of D1 having a publication date of 28/11/2002, the present priority has been checked and has been found valid for the whole subject-matter claimed.

The content of D1 will not be used in this International Preliminary Examination, but it could become relevant to the question of novelty under Article 54(3) EPC after the entrance into the European Phase.

**2) Reference to section III**

Claim 4 relates to subject-matter considered by this Authority to be covered by the provisions of Rule 67.1(iv) PCT. Consequently, no opinion will be formulated with respect to the industrial applicability of the subject-matter of this claim (Article 34(4)(a)(I) PCT).

**3) Novelty (Reference to section V)**

D2 discloses pyrazole derivatives of general formula (I) (cf. page 3 of the description), which differ in the structure of the heterocyclic group Y.

Thus, the subject-matter of present claims 1-4 meets the criteria of Article 33(2) PCT.

**4) Inventive step (Reference to section V)**

D2, which may be considered to represent the closest state of the art, discloses pyrazole derivatives possessing a strong inhibitory activity on the production of interleukin-1 (IL-1) and of tumour necrosis factor (TNF).

None of the compounds disclosed in D2 overlaps with present compound of formula II in view of the definition of the heterocyclic group Y of formula (I) of D2.

The problem to be solved by the present application may therefore be seen in the provision of alternative compounds which can be used as transforming growth factor-beta (TGF-beta) signal transduction inhibitors.

The subject-matter of present claims 1-4 is considered to meet the criteria of Article 33(3) PCT as it would not have been obvious for the man skilled in the art to start from D2, disclosing compounds with a quite different structure from the present one and relating to another technical field, in order to arrive at current compound of claim 1.

**5) Industrial applicability (Reference to section V)**

For the assessment of the present claim 4 on the question whether it is industrially applicable, no unified criteria exist in the PCT Contracting States. The patentability can also be dependent upon the formulation of the claims. The EPO, for example, does not recognize as industrially applicable the subject-matter of claims to the use of a compound in medical treatment, but may allow, however, claims to a known compound for first use in medical treatment and the use of such a compound for the manufacture of a medicament for a new medical treatment.

**6) Further observations**

**Prodrug:** protection cannot be sought for speculative compounds, which have yet to be prepared and investigated. Although there is an indication within the application as to what it may be, a prodrug is not a definable term as regards its structure. The skilled person has no indication as to what falls within this definition, and it should thus be deleted. No analysis of novelty and inventive step has therefore been made for all the compounds which are combinations of "prodrug" and of derivatives of claim 1.

Thus, this term should be deleted from claims 3-4 and from the description.